

A.D. 9.7, Inmate Classification and Case Management
Prepared for signature 11/8/95 - effective 11/27/95

1. Policy. The Department shall individually manage inmates based on ongoing classification processes and requirements.
2. Authority and Reference.
 - A. Connecticut General Statutes, Sections 18-81, 18-101(h), 19a-126a and 19a-5b.
 - B. American Correctional Association, Standards for Adult Local Detention Facilities, Third Edition, March 1991, Standards, 3-ALDF-1E-01 through 3-ALDF-1E-03, 3-ALDF-4A-01, 3-ALDF-4A-04 and 3-ALDF-4F-03.
 - C. American Correctional Association, Standards for Adult Correctional Institution, Third Edition, January 1990, Standards 3-4092, 3-4093 and 3-4282 through 3-4288.
 - D. Administrative Directives 2.7, Training and Staff Development; 9.1, Population Management; 9.6, Inmate Grievances; and 10.13, Inmate Programs.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Case Management. A documented system of sequential functions to coordinate and involve an inmate in a planned framework of programs and services in order to achieve established goals based on an inmate's security considerations and identified needs.
 - B. Classification Counselor. A staff member responsible for day to day case management functions.
 - C. Program Coordinator. A staff member responsible for, at a minimum, overseeing treatment and intervention programs at a facility or community level.
4. Case Management. Each facility's Counselor Supervisor/Unit Manager or designee shall assign a classification counselor to each inmate admitted to the facility within two (2) business days.
 - A. Classification Counselor. The Classification Counselor and assigned inmate shall review the inmate's need assessment areas. If the review process identifies objective classification needs or needs in major life areas such as physical health, spirituality, social adaptation, criminality, psychological functioning, etc., a referral shall be made to the appropriate program area. Upon completion of the review, the Classification Counselor shall submit to the Program Coordinator the name of any inmate that should participate in a program in accordance with Administrative Directive 10.13, Inmate Programs. In addition the Classification Counselor shall:
 1. respond to inmate requests in writing within 15 calendar days in accordance with Administrative Directive 9.6, Inmate Grievances;
 2. dialogue with each inmate as necessary;
 3. visit inmate housing, work and program assignments regularly to ascertain inmate motivation, participation and conduct;

4. review and update objective classification risk and needs scores, at a minimum, every six (6) months;
5. make appropriate referrals to the classification committee for inmate work assignments consistent with security requirements;
6. serve in any ancillary capacity as deemed necessary by the Counselor Supervisor/Unit Manager or higher authority, e.g., a grievance coordinator, a disciplinary advocate, volunteer program coordinator, a classification committee member, etc.;
7. complete relevant applications and forms, e.g., furloughs, visiting list, community release packages, parole packages, etc.;
8. document all significant classification events regarding an assigned inmate utilizing the Classification History Form, CN 9701, Attachment A;
9. document all significant program events regarding an assigned inmate utilizing the Program Activity Log, CN 101302 in accordance with Administrative Directive 10.13, Inmate Programs;
10. identify inmates eligible for transfer in accordance with Administrative Directive 9.1, Population Management;
11. complete Inmate Master file review every six (6) months, to include a review for outstanding in-state and out-of-state warrants or detainers, etc.;
12. complete, or review and update, all required intake and processing forms in accordance with all appropriate Administrative Directives;
13. review, with an inmate's assigned program staff, a plan of intervention(s) in response to the inmate's needs assessment;
14. collect and review Inmate Performance Evaluations from program staff on a periodic basis;
15. complete progress report incorporating program evaluations in consultation with program staff for parole to review prior to a parole hearing; and
16. ensure each appropriate inmate begins pre-release programming prior to release to the community.

B. Records Management. Each unit shall maintain standardized case management records, to be maintained in Section 5 of each inmate's master file, which document and monitor the inmate's progress and participation. Each Classification Counselor shall be responsible for completion of the required documentation for each inmate on the assigned caseload.

1. Record Content. Classification records shall include:
 - a. objective classification information;
 - b. copy of applications, e.g., furloughs, community release, transitional supervision;
 - c. case notes as required by unit policy; and
 - d. work and program evaluations.
2. Classification History Form. Classification History Form, CN 9701, Attachment A, shall be the top sheet of Section 5 of

the inmate master file and, at a minimum, shall include: classification committee action, any risk reduction or increase, furlough status, voted to parole date, etc.;

3. Disclosure. Disclosure of case management information within the Department shall be on a case-by-case basis to authorized personnel with a need to know. Disclosure of case management information outside the Department shall be made only with an informed consent from the inmate utilizing an appropriate disclosure form or by court order.
5. Staff Training and Development. Classification Counselors shall be trained in accordance with Administrative Directive 2.7, Training and Staff Development.
6. Transition. The Department of Correction shall meet essential compliance of this Directive within 60 days of the effective date.
7. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require the prior written approval of the Commissioner.

9/25/95